

Fig. 3

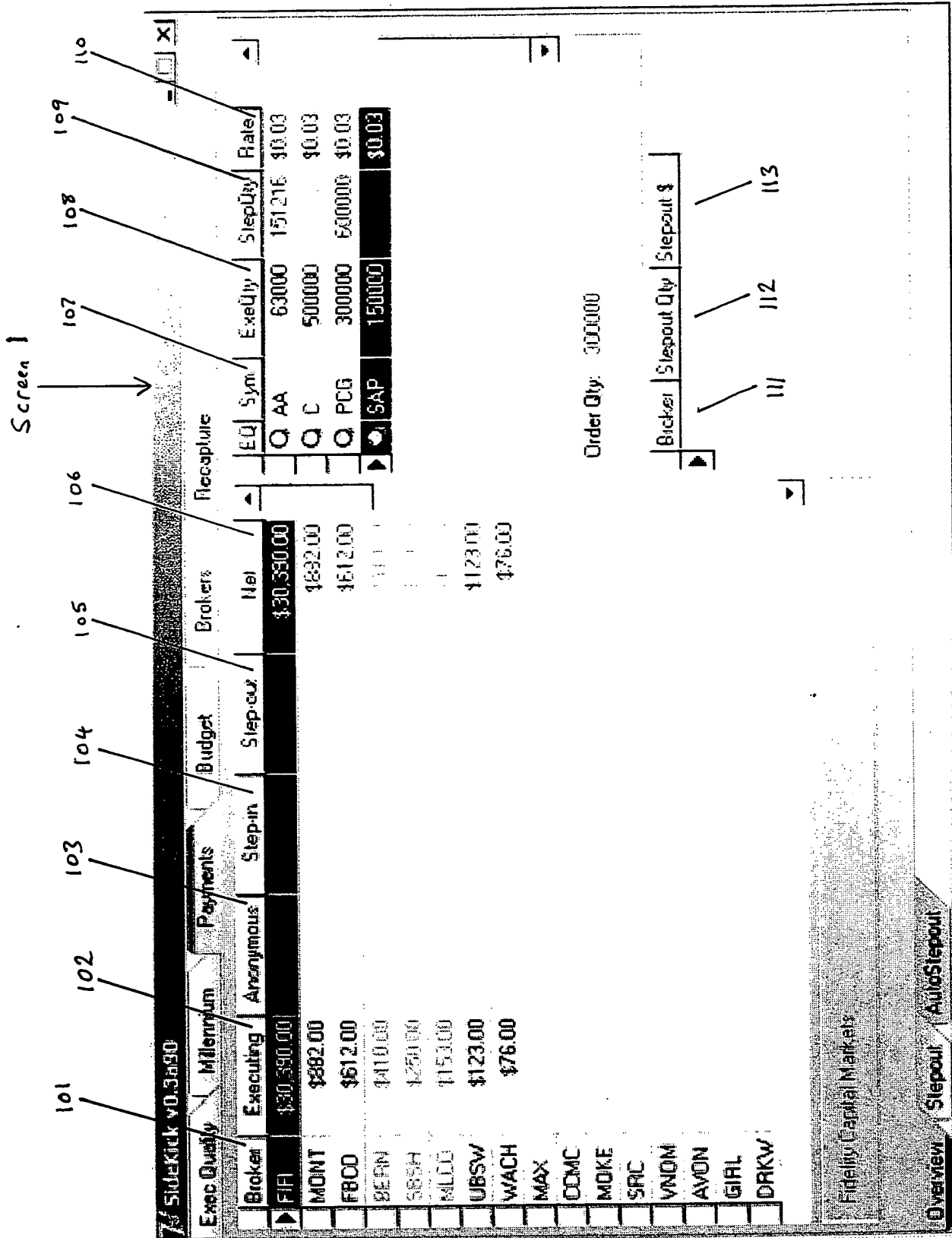


Fig. 4

Screen 2

201 202 203 204 205 206

7. SideKick v0.3a90

Exec Quality Millennium Payments Budget

| EQ | Broker | Symbol | Ord Qty | Step Qty | Rate |
|----|--------|--------|---------|----------|--------|
| 1 | FIFI | AA | 302433 | | \$0.03 |
| 2 | BERN | CAT | 80000 | | \$0.05 |
| 3 | FIFI | C | 500000 | | \$0.03 |
| 4 | MONT | MSFT | 74000 | | \$0.06 |
| 5 | FBCO | PFE | 65000 | | \$0.05 |
| 6 | MLCO | WMT | 36000 | | \$0.03 |
| 7 | FIFI | PCG | 1200000 | | \$0.03 |
| 8 | FIFI | SAP | 300000 | | \$0.03 |
| 9 | SBSH | LYG | 21000 | | \$0.05 |
| 10 | UBSW | CAT | 97000 | | \$0.03 |
| 11 | MONT | GE | 64000 | | \$0.05 |
| 12 | FBCO | LYG | 59000 | | \$0.06 |
| 13 | BERN | XOM | 70000 | | \$0.05 |
| 14 | MONT | GE | 74000 | | \$0.06 |
| 15 | FBCO | BP | 89000 | | \$0.06 |
| 16 | WACH | JNJ | 89000 | | \$0.04 |

Step out

207 208 209 210 211

Receipts

| From | To | Symbol | Stepout Qty | Stepout \$ |
|------|------|--------|-------------|------------|
| FIFI | FBCO | AA | 63000 | \$1,890.00 |
| UBSW | MONT | CAT | 4100 | \$123.00 |

Print Report

Overview Stepout AutoStepout

Fig. 5

Screen 3

7.6 SideVick v0.2a90

Exec Quality Millennium Payments Budget Brokerage

301 302 303 304 305 306 307

| PK | NPID | FIA Name |
|----|------|----------------------------------|
| 1 | FBCO | Credit Suisse First Boston |
| 1 | UBSW | UBS Warburg |
| 1 | MLCO | Merrill Lynch |
| 1 | GSCO | Goldman Sachs |
| 1 | SBSH | Salomon Smith Barney |
| 2 | NDNT | Bank of America Securities |
| 2 | BERN | Sanford C. Bernstein & Co., Inc. |
| 2 | WACH | Wachovia Securities |
| 2 | DBCC | Deutsche Bank |
| 2 | FIFI | Fidelity Capital Markets |
| 3 | INGB | ING Barings |
| 3 | SFSS | San Francisco Seilly |

Commission Rate (per cent): 0.00%

Commission Recapture: ☒ No commission recapture

As Ratio: ☐ From Fixed Base: ☐

Payment Method: ☒ Executing commissions only

☐ Traditional/step-in

☐ Anonymous step-in via Nylis

☐ Direct "hard dollar" payments

Payment Interval: ☒ Immediately (upon clearing)

☐ Weekly

Step Outs: ☒ Allow stepouts from this firm

Max % Stepout (long term): 0.02%

Max % Stepout (single trade): 0.02%

Payment Interval: ☐ Start of month

☐ Middle of month

☐ End of month

☐ On accrual of

Client Directions: Client Account No. % Order Qty

☒ Stop Sim

Performance Settings Notification

Cancel Apply

310 311 312 313 314 315

316 317 318 319

320 321 322

Fig. 6

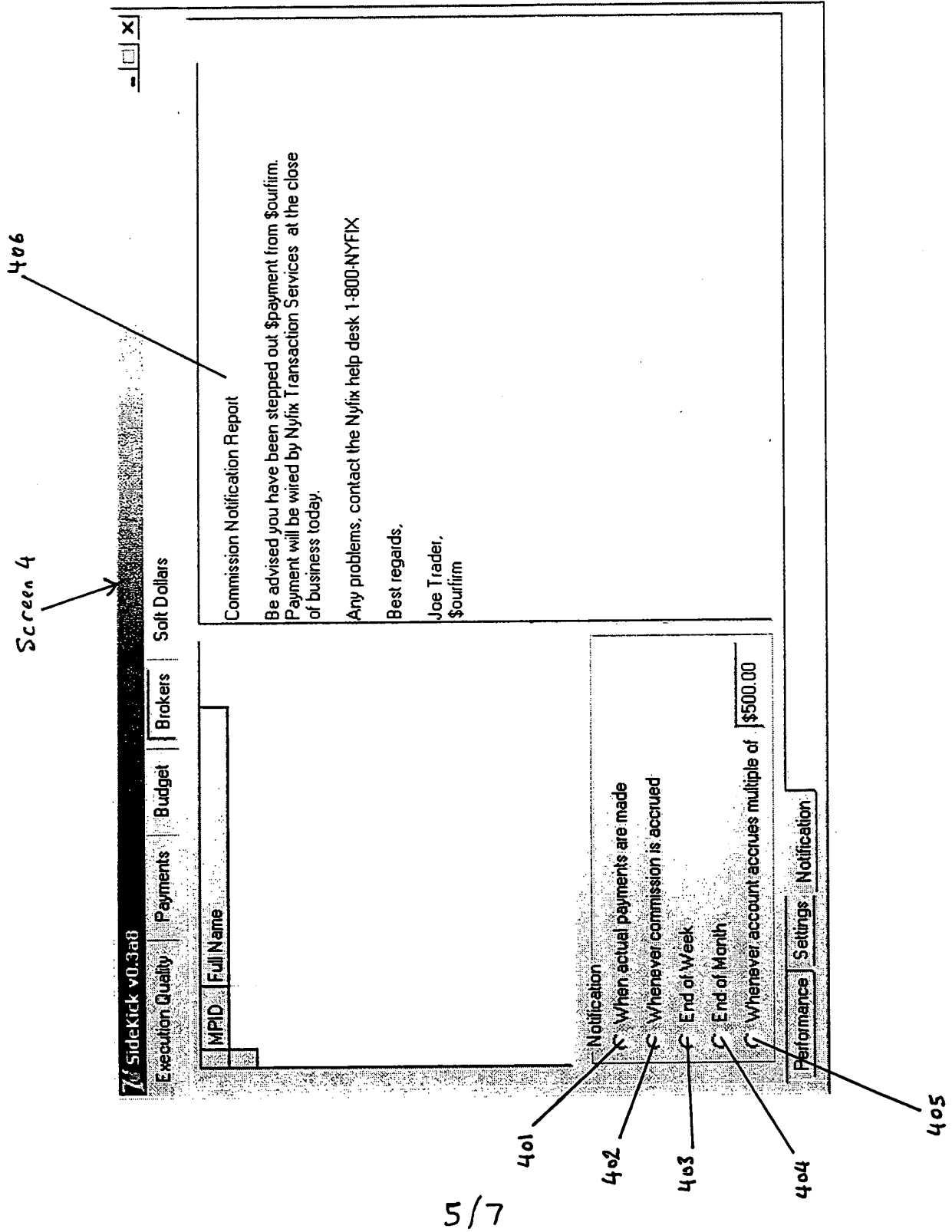


Fig. 7

Screen 5

SideKick v0.3a90

Exec Quality Millennium Payments Budget Brokers

| From | Symbol | Ord Qty | Step Qty | Rate |
|------|--------|---------|----------|--------|
| FIF | AA | 302433 | 151216 | \$0.03 |
| FIF | PEG | 1200000 | 600000 | \$0.03 |
| WACH | JNJ | 89000 | 44500 | \$0.04 |
| FIF | C | 500000 | 250000 | \$0.03 |
| FIF | SAP | 300000 | 150000 | \$0.03 |
| UBSW | CAT | 97000 | | \$0.03 |
| FBCO | BP | 89000 | | \$0.06 |
| MONT | GE | 74000 | | \$0.06 |
| BERN | CAT | 90000 | | \$0.05 |

Step-out preferences

Less More
 Step-out quantity
 Prefer large orders
 Use preferred stocks
 Avoid blocked stocks
 Symbol
 Add Preferred Add Blocked MSFE
 AA JNJ

Delete Selected

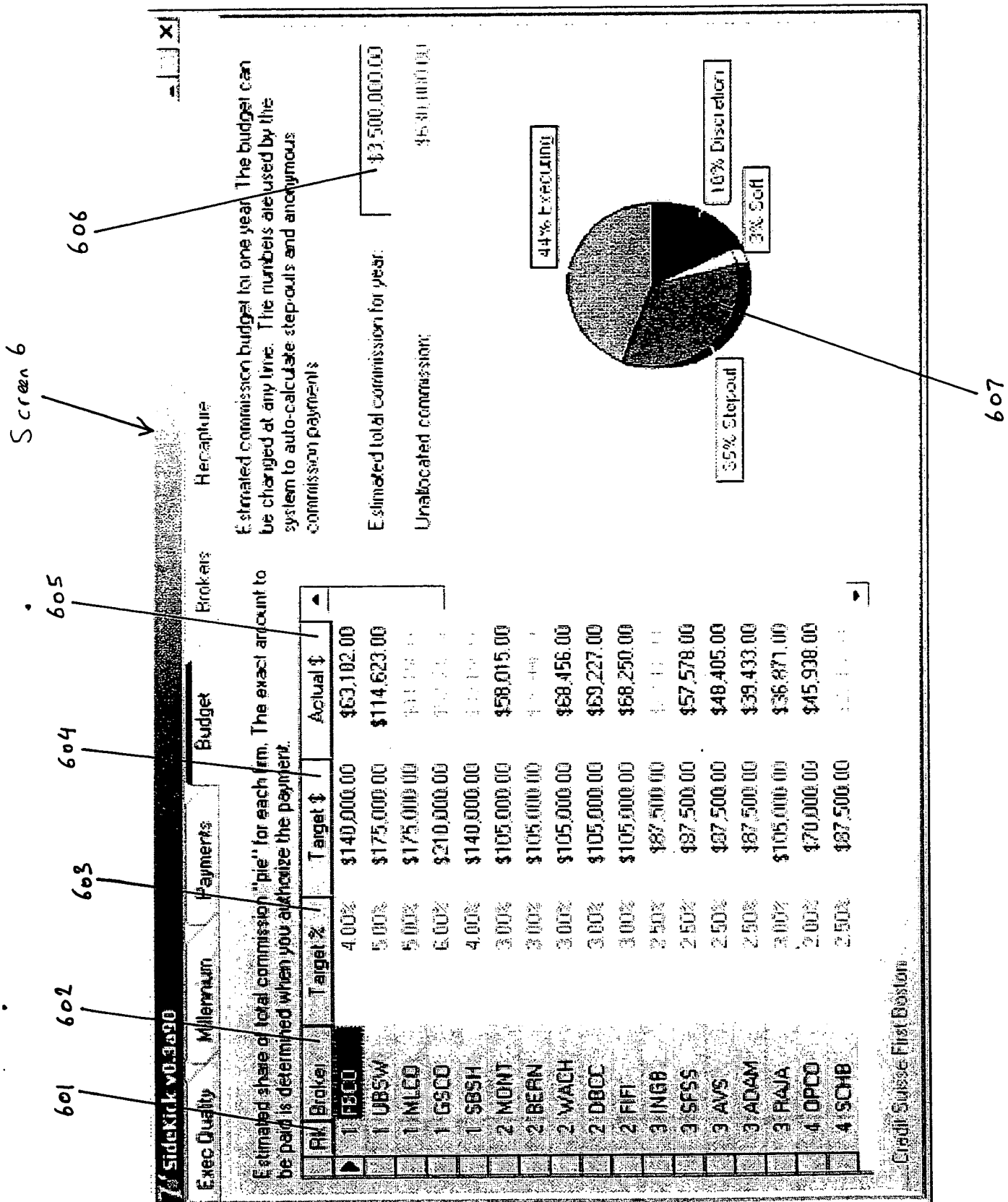
Step-in preferences

Less More
 Adhere to client direction
 Pay the furthest behind
 Pay soft dollar brokers
 Spread payments out
 S18 S19 S20 S21

Overview Stepout AutoStepout

S15 S16 S17

Fig. 8



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